



Washington Management Service  
Exempt Management Service



# Job Value Assessment **Evaluator's Handbook**

State of Washington  
Department of Personnel

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## **INTRODUCTION**

### **Handbook purpose**

The purpose of this handbook is to provide information and examples for completing an evaluation of a Washington Management Service (WMS) or Exempt Management Service (EMS) position using the Job Value Assessment Chart (JVAC).

### **Broad banding**

The state has adopted “broad banding” as its approach to job classification in the WMS and EMS. In contrast to the present classification system used in the Washington General Service (WGS), broad banding provides greater flexibility in job design, promotions, job growth, career development/mobility, and administration of employee salaries and salary changes.

The concept of broad banding calls for grouping management positions into broad salary range categories. Less emphasis is placed on “finite” job responsibility differences and resultant salary range determinations. Consequently, jobs that had different salary ranges under the WGS job slotting/factor comparison method may be in the same WMS salary band, perhaps at the same evaluated points, although typically at different salaries. The same could be true of management positions where one level supervises another, since the minimum to maximum salary spread of each band is much larger than the spread within each salary range used in the WGS. The total points given a position and salary will differentiate individual employees within a band.

Broader salary bands do not mean that assessment and accurate placement are less important. Every effort should be made to understand the important elements being evaluated for each position to assure evaluation accuracy, system credibility, and internal equity.

The JVAC can be used to evaluate jobs in a wide variety of occupations and levels; however, the focus for its use is executive, senior and mid-management positions, and professionals involved in agency policy qualifying for the WMS or EMS.

### **Communications**

State agencies should make every effort to communicate an understanding to their WMS and EMS employees of the overall guidelines and agency policies and practices. Maintaining open and relevant communications with agency employees is an important component in the successful management of these programs and in gaining employee confidence in their administration.



## **WASHINGTON MANAGEMENT SERVICE (WMS)**

The Washington Management Service (WMS) is a personnel system established separately for civil service managers in state government. It was created by the 1993 Legislature and is codified in statute as RCW 41.06.500.

The WMS applies to all civil service state employees (except higher education) who meet the definition of manager.

### **Definition of Manager**

- (1) Formulates statewide policy or directs the work of an agency subdivision;
- (2) Administers one or more statewide policies or programs of an agency or agency subdivision;
- (3) Manages, administers, and controls a local branch office of an agency or agency subdivision, including the physical, financial, or personnel resources;
- (4) Has substantial responsibility in personnel administration, legislative relations, public information, or the preparation and administration of budgets; and/or
- (5) Functions above the first level of supervision and exercises authority that is not merely routine or clerical in nature and requires the consistent use of independent judgment.

**Specific guidance on WMS administration can be found in Washington Administrative Code (WAC) Chapter 358-58.**





## **EXEMPT MANAGEMENT SERVICE (EMS)**

Effective October 15, 1999, the Washington State Personnel Resources Board adopted a resolution allowing agencies to request authority to broadband and adjust salaries of their exempt management positions. SHB 1268 moved exempt authority from the Personnel Resources Board to the Director of the Department of Personnel (DOP) effective June 13, 2002. The Director of DOP has continued this practice and may authorize the placement of these positions into the exempt management bands and salary structure.

Salary banding is intended to increase flexibility for participating agencies when faced with the need to address pay issues for exempt management staff. With this flexibility, agencies will have increased authority and accountability to manage compensation. Agencies should ensure that pay adjustments are carefully considered and well documented. Further, agencies should consider the potential impact on all agency employees when considering salary increases for exempt employees. Requests to implement banding are to be directed to the Director of DOP.

These guidelines are provided to assist agencies in securing approval to band their exempt management positions and, once banded, outlines the basis for and guidance on salary adjustments.

### **General Provisions**

- The creation and band establishment of any positions to be **newly exempted** must come to the Director of DOP for consideration through the normal Director's meeting process, including an approved Fiscal Impact Statement.

*An exempt banding proposal should acknowledge the requirement that the creation and band establishment of new exempt positions and exemption of existing positions must be brought to the Director's meeting following established procedures. Such Director's meeting packages must include an approved Fiscal Impact Statement as well as documentation of the basis for and method of exemption (e.g. specifically exempted by RCW 41.06.070 (3), Governor's pool, elected public official's pool).*

- Agencies may band existing exempt positions after receiving administrative approval of their proposal by the Director of DOP. (Note: Administrative review and determination does not require action at the Director's meeting).

*An exempt banding proposal should demonstrate understanding that, following approval by the Director of DOP, authority to broadband and adjust the salary of exempt management positions extends only to positions already exempted. The job class code for such positions usually begins with a "B". The positions covered by your proposal should be listed.*

- Agencies are encouraged to include their DOP consultant on their exempt review committee.

*Most agencies will establish a salary review committee to determine the band placement and any salary adjustments for their exempt management positions. Although not required, involving your DOP HR Consultant on this committee will keep DOP well-informed of your activity and provide another experienced source of position evaluation as well as an objective, outside viewpoint.*

- Following implementation of banding, agencies may adjust the employee's salary **within the band** to reflect a promotion, legislatively directed general and/or special increase, or to address documented recruitment or retention problems or internal salary relationship issues. Additionally, agencies may provide progression increases in recognition of the employee's demonstrated growth and development and/or in recognition of the employee's sustained excellence. Progression adjustments initiated by the agency normally will not exceed a total of 25 percent during the tenure of an employee's appointment to a position (as long as the position's duties are unchanged or would not evaluate higher if new duties are assigned). Exceptions to the progression increase limit must be approved in advance by the Director of DOP. Salaries for exempt positions **may not** be set outside the salary band unless authorized by the Director.

Any movement of a position to a different band is subject to administrative approval by the Director of DOP prior to implementation.

*An exempt banding proposal should acknowledge that movement between bands must be brought to the Director of DOP and that adjustments exceeding the limitations specified must be brought to the Director of DOP prior to implementation.*

## Banding Proposals

The following information should be included in a request to band existing exempt positions:

1. A description of how the positions will be transitioned into the established bands, and inclusion of an approved Fiscal Impact Statement.

*Ideally, proposals would demonstrate the movement of existing positions into a broadband through completion of the following chart. If the band for each position has not been determined at the time of the proposal for broadbanding authority, "anticipated" or "to be determined" may be entered in the final two columns below as necessary. However, when evaluation is complete, this information along with an approved fiscal impact statement is to be submitted to the Director of DOP for review and approval prior to implementation.*

Class Code	Class Title	Posn. No.	Present Range	Present Salary	Rec. Salary Adjustment (Annual)	Prop. Band	Prop. Salary
BXXXX	Asst. Dir., Ops	XXXX	XX	\$XX,XXX	\$XX,XXX	EMSX	\$XX,XXX

2. The method to be used to adjust position salaries within a band (e.g. evaluation, alignment, recruitment/retention, job growth, etc.)

*Describe the methodology and/or techniques and/or considerations to be used to evaluate positions and determine adjustments. This may include JVAC or Willis evaluation, documented recruitment or retention problems, documented alignment issues, etc.*

3. A method for incumbents to share their viewpoint with the agency's exempt review committee.

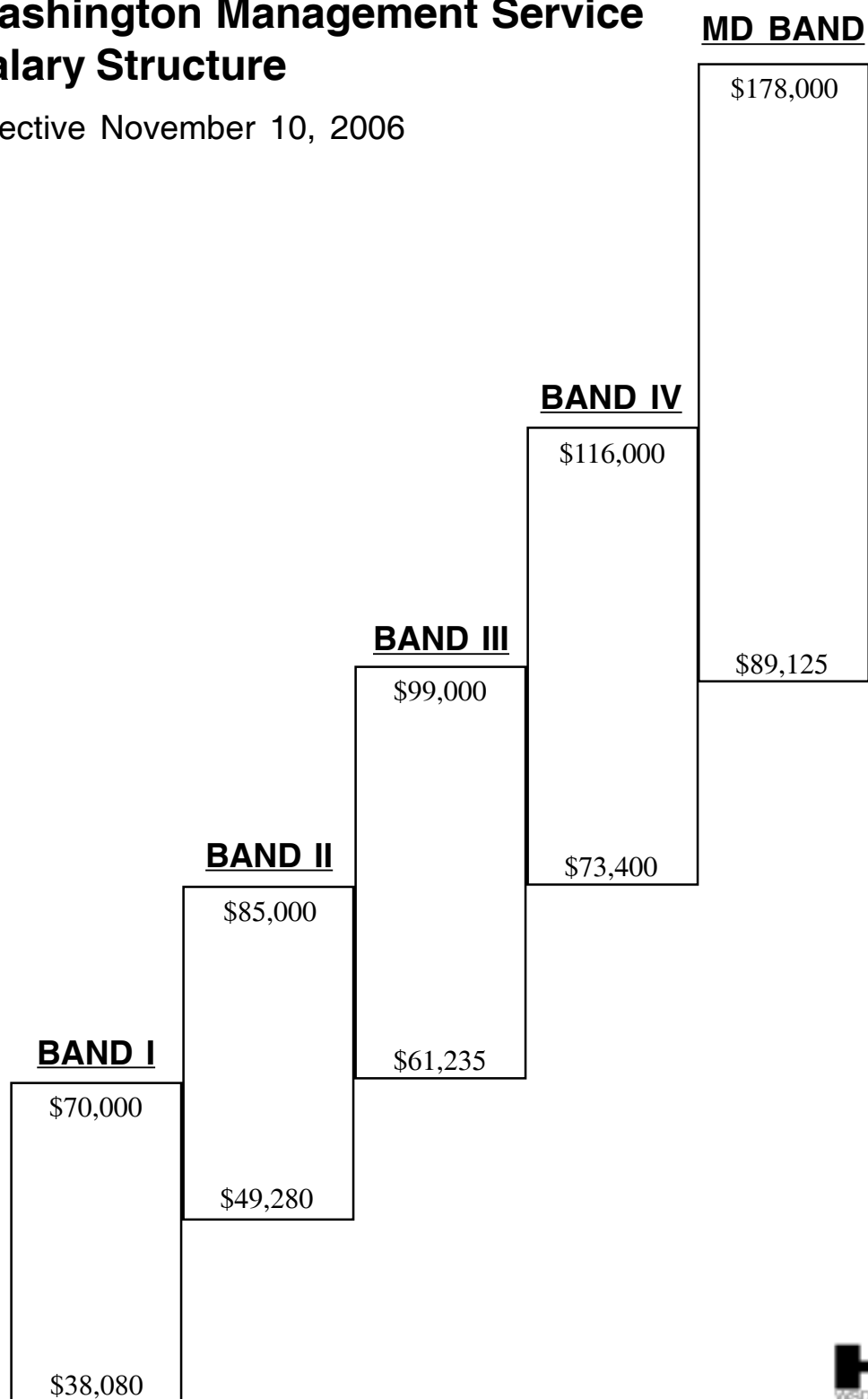
*Describe how incumbents will have an opportunity to present their perspective on the salary determined for their position. This process should include written notification advising the incumbent of band placement, any salary adjustments and their opportunity for input.*

4. Who the agency's final decision maker will be for salary adjustments within a band.

*Provide the name and title of the agency official who will make the final decision for adjustments within a band.*

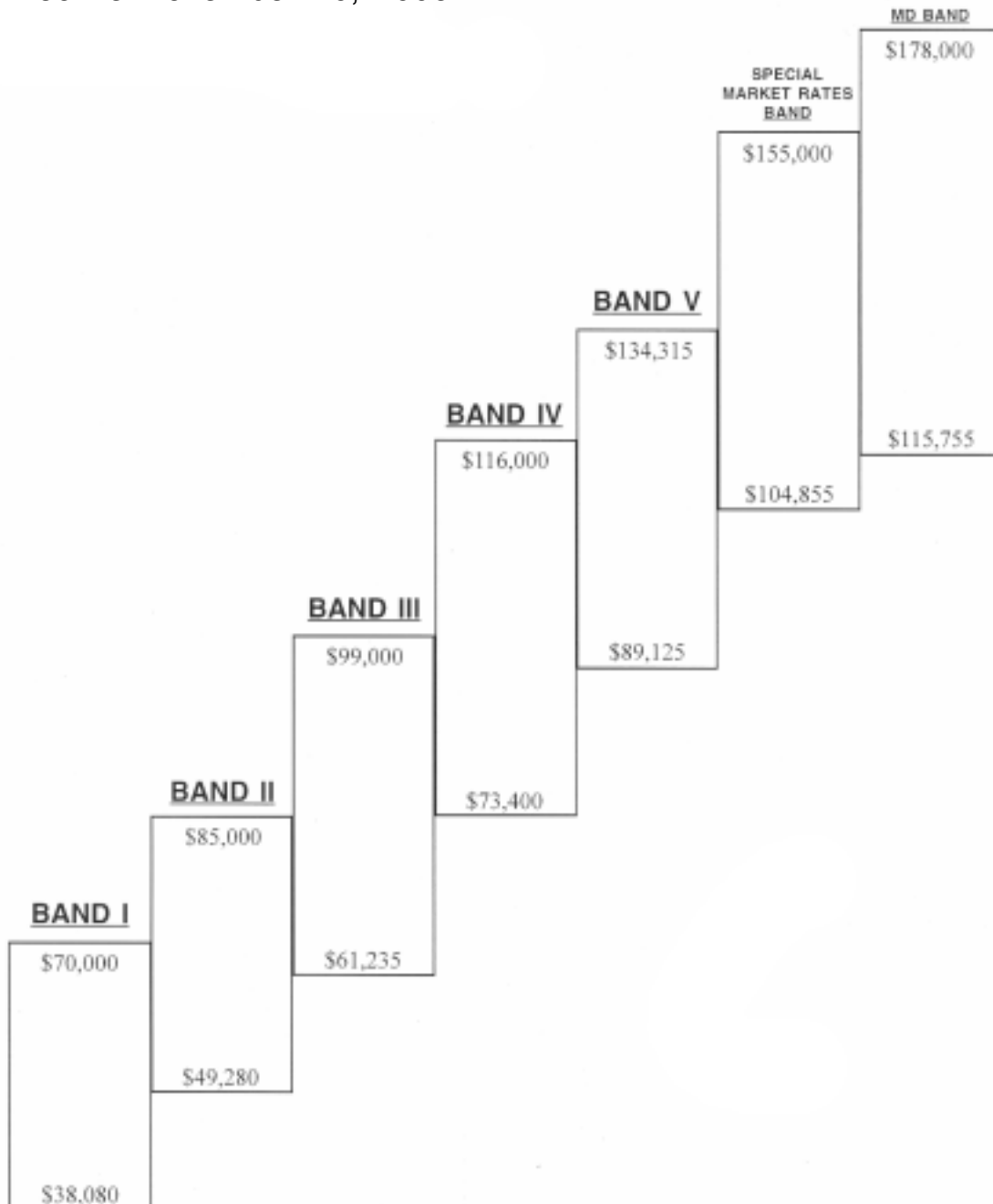
## Washington Management Service Salary Structure

Effective November 10, 2006



## Exempt Management Service Salary Structure

Effective November 10, 2006





## **MANAGEMENT BAND CHARACTERISTICS**

The following characteristics are provided as an aid in the determination of the appropriate band placement of a position and to further agencies' ability to recognize the entry level into the WMS and EMS. These are characteristics only and should be viewed as a whole and not as single criteria to be met in evaluating the proper band placement of the position. They are intended to complement the assessment chart with additional information and examples. Positions that could be included as example "anchor" positions are listed.

### **Management Band Level 1**

- Essence of the job is direct management of people.
- Requires knowledge and application of basic management principles. May also require application of technical subject matter expertise. Incumbent may still be developing professionally in each area.
- Management challenge is primarily tactical (short term, day-to-day) and task focused, with knowledge/recognition of other organizations and their work.
- May manage supervisors or lead workers, but typically manages individual contributors at all levels of job skill and responsibility.
- May have recognizable influence on policy, but policy making authority is typically limited to providing recommendations.
- Compared to lower level supervisory positions, has greater emphasis on determining work to be done. Includes some negotiation of goals and objectives and provides input on resources required.
- Increased emphasis on work planning, fiscal and budget accountability.
- Emphasis required on tactical thinking, planning, etc.
- Typically project (smaller scope, less impact) type job.
- May have statewide impact; results usually roll up into larger program or line organization or both.
- Accountability is modest with respect to policy impact and resources managed.
- Assures the funding is allocated appropriately and that accountability measures are in place.

- Primarily assessment/guidelines driven.
- Knowledge base primarily OJT.

Knowledge, Skills, and Abilities of Entry Level Management Work

- Emphasis on supervising people at the task level
- Controlling individual work
- Organization focused on short term/quick turnaround activity
- Work planning on day-to-day basis (tactical) with some inter-organizational coordination
- Organization responds to, but typically, doesn't initiate communications, goals and objectives, budget and resource prioritization
- Integration with external environment (outside agency/state government) generally limited with the exception of direct customer interface
- Communication typically with immediate staff for work direction, training, or coaching

Examples of positions that could be used as Band I "anchors".

- Budget Manager (small- to medium-size agency)
- Records Center Manager
- Contracts Administrator
- Client Services Manager
- Project Manager (generic)
- HR Program Manager

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**Management Band  
Level II**

- The management challenge is primarily working with people, with appropriate integration or consideration of work in other organizations internal and external to that manager's work group.
- Typically, duties involve a continuing growth and development of managerial knowledge and skills and substantial expertise in the subject-matter areas of the job.
- Involves less day-to-day task oriented activities than Level I. The work scope requirement typically goes beyond the day-to-day issues and activities and more towards influencing larger range outcomes.



- Gets results from directing multiple resources.
- Provides substantive input to major policy issues and decisions. With moderate influence (guidance, support, etc.) from higher level management, will determine some policy within the division or the agency, generally on issues of lower impact or scope.
- The management focus is primarily on tactical level issues and/or decisions with appropriate consideration of strategic implications.
- Negotiates the work unit's (size may vary) goals and objectives, providing input to next level manager on necessary resources, trade-offs, etc., to accomplish the goals and objectives.
- Typically program level with or without other associated projects.
- Nature of program requires strong, well utilized management skills.
- Includes upper management interface (negotiation of priorities, funding, performance issues, etc.).
- Discretion regarding funding. Can reallocate funding based on project or customer performance.
- More technical detail and use of profession based knowledge and skills.
- Significant influence on major policy. Heavier emphasis on expert consultation.
- Knowledge base primarily "professional" in nature learned through a prolonged course of study, typically leading to a degree complemented by relevant work experience..

#### Knowledge, Skills, and Abilities of Basic Level Management Work

- Manages resources (people and capital) within an organization. Includes budget development accountability
- Work controlled through supervisors/leads
- Organization's work perspective focused on tactical with some strategic considerations

- Work integration often required outside of immediate organization and sometimes outside agency
- Longer term planning (1-2 years) of organization's work, establishes guidelines/priorities for staff
- Previous management experience most often required
- Relationships with external environment common and often necessary for organization's work
- Decision making more often influenced by work priorities, balancing of requirements, external (to organization) influences
- Communication flow typically with multiple audiences, messages in varying situations.; greater attention to timing, impact and message(s) required
- Influencing or persuading external audience may be significant
- Requirement to control large scale critical assignments through program/project planning techniques

Examples of positions that could be used as Band II "anchors".

- HR Manager (medium-size agency)
- Plant Manager (generic)
- Information Technology Manager in small- to medium-size agencies
- Environmental Manager
- Regional Office Manager (generic)
- Procurement Manager

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**Management Band  
Level III**

- May manage multiple organizations but more typically responsible for a business segment that carries significant or critical impact to the department's overall client base, business function, or mission.
- Manages managers, supervisors and/or individual contributors.
- Senior level program or project manager with substantial scope of responsibility (typically statewide) and considered a recognized expert in the field. The nature of the management environment and resultant expertise are influenced by significant and sensitive external interfaces requiring much negotiation and persuasive action.

- Management focus range from a balance between strategic and tactical actions and considerations to one emphasizing strategic planning and the appropriate level of tactical involvement.
- May negotiate scope of organization's responsibilities and resources but typically negotiates annual goals and objectives and provides input to organization's responsibilities/resources.
- Substantial influence on agency and/or state policies.
- Primary challenge is to balance the organization's mission and objectives with its budgeted resources in a dynamic work environment.
- An agency's most important program(s).
- Typically a stand-alone program with significant scope and depth.
- Usually involves multi-agency coordination, negotiation prioritization.
- Extensive executive management involvement, often interagency.
- Deeper technical requirements, often requires specific advanced degree/certification.
- Well recognized by management and peers as most difficult and demanding job(s).

Knowledge, Skills, and Abilities of Advanced Level Management Work

- Manages organization's resources typically through other managers/supervisors
- Typically extensive experience (years) and seasoning (type and degree of experience) in management work
- Organization work focused on strategic longer range (1-4 years) planning and integration of work with consideration of tactical actions/plans necessary to implement decisions

- Heavier interface with external environment, with requirement to build positive working relationships with clients, constituents, others in state government.
- Verbal and written communication requirement increases, with need for greater skill and application. Typically multiple styles of presentation are required to fit the audience/occasion
- Leadership (skill/style) becomes key component in organization work and performance
- Organization's work more closely affected by agency's mission and management plans
- Budgeting on a larger scale basis (people, capital, priorities, trade offs), usually with impacts on other organizations
- Policy development important aspect of management work; markets, negotiates, implements strategies

Examples of positions that could be used as Band III "anchors".

- Information Technology Manager in larger-size agency
- Engineering Manager
- HR Director/Manager in larger-size agency
- Field Administrator/Regional Manager
- Program Director/Manager of larger size/scope of responsibility
- Budget and Accounting Director

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**Management Band  
Level IV**

- Requires professional mastery (breadth/depth) of managerial and/or job specific responsibilities.
- Scope of authority and impact encompasses entire department with significant impact both from within and outside of state government.
- The primary challenge typically encompasses the management and integration of multiple organizations in similar professional fields but having different program or functional aspects to manage.
- Organization's functional responsibilities are a significant component of department's mission.

- Member of top executive staff and/or the senior policy making group of the department.
- Responsibility and accountability focused primarily at strategic level with appropriate tactical overview and action.
- Manages managers and senior-level policy research and development professionals.
- Focus is primarily strategic business management (policy making, budgeting, staffing and resources allocation, etc.) with occasional demands for high levels of individual technical output.
- Negotiates scope of entire organization's responsibilities, resources, goals, and objectives.

Note: Many exempt management positions will also possess the same position characteristics of WMS band levels I–IV. The difference between these management positions is not their management characteristics, but their specific or separate statute for exemption. Most assistant directors or division directors, if not exempt, would probably fit into either Band III or IV.

#### Knowledge, Skills, and Abilities of Senior Level Management Work

- Experience and seasoning allow for sophisticated and masterful utilization of key management skills. Skillful technique and style enhances performance and presentation.
- Typically focused on strategic planning and integrating multiple organization units
- Highest policy considerations and impact of decision making and judgments
- Policy development and planning responsibility involves establishing budget and work direction and priorities for organization(s) managed, with influence on other organizations inside/outside of agency.
- Working the external environment (meeting with, responding to, and influencing people outside the organization) is an important component of job/organization success

Examples of positions that could be used as Band IV “anchors”.

- HR Director/Assistant Director (largest agencies)
- Chief Financial Officer
- Assistant Director (medium-size agency)
- Chief Engineer/Scientist or Chief Medical-type position
- Area (of state) Administrator
- Program Director with statewide scope (typically technical or medical work)

**Management Band  
Level V (Exempt  
Management Service  
Only)**

- Requires broad professional expertise (breadth/depth) of executive level job responsibilities.
- Scope of authority and impact typically encompasses entire agency or major Mission element within an agency having significant impact both from within and outside of state government.
- Primary challenge typically encompasses the management and integration of agency programs.
- Typical functional responsibilities involve the management of an agency's day-to-day operations or most significant mission component(s).
- Typically deputy level executive.
- Responsibility focused primarily at tactical level with accountability to achieve strategic outcomes.
- Manages other agency senior-level managers and executives.
- Negotiates scope of entire organization's responsibilities, resources, goals, and objectives.

Knowledge, Skills, and Abilities of Executive Level Management Work

- Expertise gained through comprehensive experience and seasoning in senior level management/executive positions. Use of skills enhances the agency mission and reputation.
- Focused primarily on strategic, mission critical planning and outcomes.
- Decisions and actions establish policy and set the tenor of management conduct and process for the agency.

### **Special Market Rates (Exempt Management Service Only) and Medical Bands**

- Extensive external involvement at all levels and providers of State government and third-party representatives and stakeholders.

#### **Special market rates for exempt positions:**

Use of the *Special Market Rates* band may be considered and approved by the Director of DOP for positions when extreme market factors make use of this band necessary to fill a position or retain existing staff.

To propose use of this band in an exceptional situation, all of the following information is required:

- Present band and monthly salary for the subject position;
- Proposed monthly salary for the subject position;
- Job description that includes the special skills, talents, licenses, etc. required to successfully staff the subject position;
- Thorough description of market information (supply/demand for candidates, competing salaries, current and relevant survey information, etc.) collected for the special skills/talents required to fill the subject position;
- Thorough description of the problems experienced in attempting to fill the subject position or retain present staff at the present salary such as: methods/approaches tried, time and effort invested, applications generated, quality of applicants, offers made, outcome, likelihood of losing staff, etc.;
- The subject position's impact upon the agency's business/mission: What public needs would be served through adoption of the proposal? What would occur if not adopted?

#### **Medical Bands (WMS and EMS):**

- Positions requiring an M.D. or medical profession equivalent (e.g., DDS, ND, etc.).
- Qualified positions are allocated, and not evaluated, to this band.

- EMS Medical Band placement requires approval by the Director of DOP (see pages 5-7).
- Superintendents and Deputy Superintendents of the State's medical hospitals may be included in the exempt MD band.



# JOB VALUE ASSESSMENT CHART

## JOB VALUE ASSESSMENT CHART



Band: I II III IV V

JOB VALUE ASSESSMENT CHART		DECISION-MAKING ENVIRONMENT AND POLICY IMPACT																							
		(2)				←				→				5. Strategic and creative thinking having longer-term impact. Develops policy having broad organizational wide application for design and delivery of programs and services affecting a substantial segment of citizens or government.				6. Strategic and visionary thinking having long-term statewide application and impact. Develops and implements policy critical to the central business purpose of the State.							
		1. Judgements and decisions are guided by familiar and reliable policies and established guidelines and management imposed limits. Thinking within defined rules/ regulations and procedures. Develops and prioritizes tasks within specific work unit. Impact generally limited to interpretation/application of clearly defined regulations.				2. Judgements and decisions are primarily tactical, guided by general policies and guidelines having significant diversity/complexity relative to outcomes and considerations. Thinking within broadly outlined and complex regulations for application of service delivery or program operations.				3. Judgements and decisions require consideration of both tactical and strategic outcomes. Interpret and implement broad departmental policy for developing program guidelines and procedures.				4. Thinking environment requires strategic judgments/decisions where there are generally few prescribed or established approaches (balancing competing demands/priorities for resources). Develops policy for major programs or organizational groups.				5. Strategic and creative thinking having longer-term impact. Develops policy having broad organizational wide application for design and delivery of programs and services affecting a substantial segment of citizens or government.				6. Strategic and visionary thinking having long-term statewide application and impact. Develops and implements policy critical to the central business purpose of the State.			
		SCOPE				SCOPE				SCOPE				SCOPE				SCOPE				SCOPE			
		W	X	Y	Z	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z
Band: I II III IV V																									
A. Fundamental application of management principles. A unit or program, having focused scope, with individual contributors and/or first-line supervisors. Leading/controlling. Emphasis on tactical thinking and people issues. OR, practitioner of recognized discipline having management accountability.		422	442			432	452	504		444	464	516													
B. Full utilization of management principles. Tactical planning and responses, some strategic thinking and action. A unit, multiple programs or functional activities. Typically directs supervisors and/or professional practitioners. Focused on goals/objectives. OR, advanced practitioner requiring a high level of knowledge in a discipline and overseeing a professional staff.		494	512			546	570	598	4	562	586	614					580	604	692						
C. Application of advanced management principles and skills. Planning and management primarily strategic. Functional area or diverse organizational unit. Typically directs/integrates work of managers and supervisors. Management of or mastery of a recognized discipline involving direction of complex technical/advanced skilled professionals.						630	704	796		748	768	848	1016				776	800	888				808	828	948
D. Sophisticated application of advanced management principles/skills. Strategic focus; highly experienced. A large unit in large agency, major policy impacts at agency and/or statewide level. Management of managers and senior policy professionals. In smaller organizations fewer staff, but the most critical policy impact.																									
E. Expert applications of advanced management principles; directions are diverse and complex organizations with critical statewide impact on citizens and government. Highest level of agency leadership positions.																	976	1012	1100				1048	1136	1256
												</													

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## **OVERVIEW OF JOB VALUE ASSESSMENT CHART**

The Job Value Assessment Chart (JVAC) is structured to assist the evaluator in determining the point value of each management position through measurement and assessment of its most significant job factors: management skill requirements, policy impact, accountability and control. The assessment of these factors provides a single point total which can then be translated to the appropriate band level.

When evaluating positions the evaluator should include all information that describes the job being reviewed (e.g., current job description). Rather than focus on any single piece of information as conclusive evidence that the position meets certain criteria, the evaluator should consider all pertinent data (e.g., the job environment, superior and subordinate relationships, focus within the organization, primary mission, etc.) as a “mosaic” to guide decisions. If the evaluator is comfortable, after taking into account the big picture, that a position warrants a certain evaluation level, this assessment is probably correct. The opposite can also be stated. If the evaluator is not firmly convinced that a position should receive a certain point value, then it probably should be dropped to a lower point value.

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### **Evaluation Process**

The evaluator begins the evaluation first by assessment of the position's management skills and challenges called Nature of Management (1) on the left column of the form. Once determined, the evaluator then assesses the position's Decision Making Environment and Policy Impact (2) reading across the JVAC, and lastly its Scope of Management Accountability and Control (3) at the bottom of the JVAC. The end result occurs with the selection of a single point value (4). The actual evaluation, for example, is expressed as a combination of the letters and numbers used (e.g., B2X-570). This is called the job profile.

- B – represents the “Nature of Management” category selected
- 2 – represents the “Policy Impact” category selected
- X – represents the “Scope of Management Accountability and Control”
- 570 – represents the point value assigned to the position.

Portions of the chart are blacked out. They represent combinations of job factors that are inappropriate or highly unlikely management responsibility combinations. Pages 25-37 provide detailed information to assist evaluators in their evaluation and subsequent point value determination of WMS or EMS positions. The largest majority of WMS positions have been placed in Bands I and II with evaluated point profiles ranging from A1W-422 points to B3X-586 points. Through experience and the use of “anchor

classes,” relationship patterns between the assessment categories will emerge to further guide agencies in their evaluations.

## **STEP 1 – NATURE OF MANAGEMENT**

This element is intended to measure the managerial skills and abilities required of an incumbent for full job performance in the WMS or EMS position. There are three sub-elements to consider in determining the nature of management. They are:

### **A. Application of Management Skills**

- Managerial knowledges, skills and abilities (KSA's) recognize both an understanding of the **principles** of management (planning, organizing, leading, controlling, communicating) and the capacity or **capability** to manage resources. Descriptive examples of KSA's are found on page 40. Page 41 provides a researched profile of the excellent State Manager outlined by key KSA attributes.
- Nature of Management is intended to recognize the size, scope, and complexities of the line organization; the projected program(s) or responsibilities managed; the nature of work performed; and the influence or pervasiveness of the organization.

### **B. Technical Job Content**

- The extent, type and application of technical knowledge(s), skills and background required of the position. Technical fields generally require degrees in Engineering, Advances Sciences, Physics, Math, Computer Science or certification recognizing exceptional achievement or professional prominence in a particular field of work (e.g., CPA) requiring a prolonged course of study.
- Jobs requiring no particular degree or basic training/ certification in technician or paraprofessional type occupations are not included in this sub-element.

### **C. Management Experience**

- The amount of overall management experience (years) and seasoning (type/intensity) required/highly desired coming into the management position and the position's authority level(s) (lead, supervisory, program/project).

For example, an organization which performs routinized processing tasks, though that organization may have substantial numbers of employees and a large operating budget, requires a different level of KSA's of its manager than one in which highly complex, profession-based work is performed, even though this latter organization may have fewer employees and a smaller

budget. The first organization might perform such services as processing mail or supplies. The latter might perform such work as engineering design and testing or the practice of law or medicine.

The skills of managing are based both on the **organization** and on the **type of work** performed. These KSA's may have been learned, over the course of a career, in many different types of work, but this sub-element assumes their application has been in the context of leading, directing or managing people.

### **Level A**

Positions involving fundamental application of management skills and abilities. Typically manage an organizational unit or program having focused scope\* and direct the work of first-line supervisors and/or individual contributors. There is an emphasis on tactical thinking. For example, the management function of planning looks toward a time horizon of months rather than developing long-range strategies for organization results. Direction and control tend to be carried out close to the work performed by subordinate staff as contrasted with managers whose major attention is an acquiring, developing and allocating resources toward the organization's mission. OR, positions which are required to be practitioners of recognized profession-based disciplines having significant accountability for managing programs and/or for affecting organizational policy. These practitioners may be individual contributors or lead professionals over technicians or paraprofessionals. OR, program/project type positions having the following characteristics:

- Typically project (smaller scope, less impact) type job.
- May/may not have statewide impact; results usually roll up into larger program or line organization or both.
- Accountability is modest with respect to policy impact and resources managed.
- Assures the funding is allocated appropriately and that accountability measures are in place.
- Primarily assessment/guidelines driven. Statuses and trouble shoots.
- Knowledge base primarily OJT.

\* *Focused scope suggests a generally singular purpose or area of influence as contrasted with diversity, complexity or multiplicity.*

## **Level B**

This level requires the full application of management skills and abilities. Actions may have near-term consequences, but there is a substantial requirement to plan into the future in both fiscal and operational areas. These positions may manage organizational units or programs having substantial diversity or complexity. They may manage an entire function in an organization where that function is not central to the organization's purpose. For example, the B level usually would not be applied to the position managing the entire engineering function in an organization with a principal service of engineering (such as Transportation) but might manage a sub-functional area of engineering (such as project design and management) in such an organization. These positions typically direct the work of second-level supervisors or unit managers and/or senior/journey level professional practitioners. OR, the positions are required to be advanced senior-level professional practitioners with a high level of knowledge in a recognized discipline and to lead or oversee a staff of other professional practitioners or to manage programs or policies with major impact on an agency's central purpose. OR, program/project type positions having the following characteristics:

- Typically program level with/without other associated projects.
- Nature of program, interfaces require strong/well utilized management skills.
- Much upper management interface (negotiation of priorities, funding/performance issues, etc.).
- Discretion regarding who receives funding and how much. Can withdraw/reallocate monies based on project or customer performance.
- More technical detail and calling upon profession based knowledge and skills.
- Significant influence on major policy. Heavy emphasis on more expert consultation.
- Knowledge base primarily "professional" in nature learned though prolonged study.

### **Level C**

This level requires the significant and ongoing application of management skills and abilities. Incumbents are expected to have a strategic or long-range horizon for such areas as planning, setting organization direction and for resource management. They usually manage a functional area having major importance to the organization or to manage complex or diverse organizational entities. Typically, they direct the work of managers who, themselves, direct the work of supervisors. OR, positions require mastery of a recognized discipline with highly complex principles and theories and leading or overseeing senior/journey-level professionals or the management of programs with major statewide impact central to the organization's reason for being. OR, program/project type positions having the following characteristics:

- An agency's most important program(s).
- Typically a stand-alone program with significant scope and depth.
- Usually involves multi-agency coordination, negotiation prioritization.
- Extensive executive management involvement, often interagency.
- Deeper technical requirements, often requires specific advanced degree/certification.
- Well recognized by management/peers as most difficult/demanding job(s).

### **Level D**

This level requires the sophisticated application of management skills and abilities where the relationship between their expert application and job performance is directly relatable to agency performance and individual tenure in the position. Incumbents manage entire agencies or very large and diverse organization components with critical impact on agency services, products or operations. The focus is strategic and key management interfaces occur throughout many areas of state, local, and/or federal government operations.

### **Level E**

Expert application of advanced management principles; highly diverse and complex organizations with critical statewide impact on citizens and government. Highest level of agency leadership positions.



## **STEP 2 – DECISION- MAKING ENVIRONMENT & POLICY IMPACT**

This component measures the requirement in a managerial position for applying knowledge in decision making and analysis. It takes into consideration:

- The authority and requirement granted to the position to make decisions and to develop, influence, or otherwise affect policy;
- The extent to which an incumbent is able to rely on precedents and past practices or must apply original thinking. (Precedents are previous decisions and their outcomes.)
- The complexity and diversity of the thinking and decision-making requirement;

### **Level 1**

Judgments and decisions are guided by familiar and reliable policies and established guidelines and management imposed limits. Thinking within defined rules/regulations and procedures. Develops and prioritizes tasks within specific work unit. Impact generally limited to interpretation/application of clearly defined regulations.

For example, managers at this level of thinking makes decisions where they have a range of choices but where the situations are recurring or similar. A manager of accounting may have to choose from several options as to how expense items are allocated to budget areas and those same kinds of choices will be made in future accounting periods. A manager of social services may have to decide a client's eligibility based on several unusual circumstances and will likely be faced with similar situations in the future.

A "focused program or service area" is one that has a singular or limited scope. (See Level 1)

In a health care context, "focused" might apply to patient care in a hospital department but not to a hospital-wide patient care. Thus, a "focused" job might be a division or department nursing manager, but not a director of the entire nursing function for the hospital.

In an engineering context, a manager or professional practitioner in a "focused" area might be involved in design or construction of similar types of structures but with somewhat different or unfamiliar conditions.

In a social services context, a manager of a “focused” area might manage an office providing program services to clients in such specific areas as income maintenance or unemployment compensation/services.

Decision making at this level is intended to interpret and carry out regulations in standardized patterns.

## **Level 2**

Judgments and decisions are primarily tactical, guided by general policies and guidelines having significant diversity/complexity relative to outcomes and considerations. Thinking within broadly outlined and complex regulations for application of service delivery or program operations. Results of previous or “precedent type” of decisions are usually available to provide guidance.

For example, a nursing manager may be required to make decisions about differing approaches to patient care where the outcomes of that care are not entirely predictable. The manager is able to rely on past experiences and practices, but must consider alternatives that have not been repeatedly considered.

## **Level 3**

Judgments and decisions require consideration of both tactical and strategic outcomes. Interpret and implement broad departmental policy for developing program guidelines and procedures.

Jobs at this level involve substantial developmental and innovative thinking within the context of broad departmental policies affecting programs and issues having impact on a major segment of a department or the operation of a moderately large unit. Judgements and decisions can be made by reference to precedents in other, dissimilar situations.

“Broad departmental policies” do not spell out exactly what an incumbent should do in a particular situation. Rather, they indicate a general direction for incumbents when faced with situations falling within a category or range of considerations.

A “major segment of a department” is one central to the department’s reason for being. In transportation, highway maintenance could be a major segment. In mental health, psychiatric practice might be a major segment. In social services, children’s protection might be a major segment.

#### **Level 4**

At this level the thinking environment requires strategic judgements/decisions where there are generally few prescribed or established approaches. (Balancing competing demands/priorities for resources). Develops policy for major programs or organizational group.

“Major programs or organizational groups” typically are those which are:

- Central to the reason for existence of an agency or its business purpose;
- Integral to an agency's product, services or purposes; (as distinguished from functional work that supports the agency such as payroll or contract administration.)
- Pervasive in the nature of product or service of the agency; (For example, controller in a large agency.)
- Significant in their impacts on other agencies and their work mission. (For example, the Office of Financial Management. In contrast, the Department of Printing or state mail service probably would not qualify in this area. Even though their services are statewide, they are not central to the state's mission.)

#### **Level 5**

Strategic and creative thinking having longer-term impact. Develops policy having broad organization-wide application for design and delivery of programs and services affecting a substantial segment of citizens or government.

#### **Level 6**

This is the truly inventive level. Strategic and visionary thinking having long-term statewide application and impact. Develops and implements policy critical to the central business purpose of the State.



### **STEP 3 – SCOPE OF MANAGEMENT ACCOUNTABILITY & CONTROL**

This element measures the type and nature of the accountability the position has for accomplishing results. The dimensions of accountability include the authority or freedom to act, the area(s) of effect and to what degree the position creates and/or controls outcomes.

The measurement criterion is both qualitative and quantitative.

A position's accountability is both a factor of the overall **scope** of what it is accountable for (e.g., the amount, complexity, and diversity of control) and the **extent, nature and degree** of the accountability that is assigned to the position. These are the qualitative factors.

The quantitative factors consist of resources (people, budgets, facilities etc.) and the extent of direction or control the position exercises in resource development and allocation. To provide a context for an order of magnitude, a dollar range has been assigned to each management accountability value (i.e., W,X,Y,Z). These dollar ranges should be viewed as inclusive, not exclusive, so the evaluator does not select or eliminate a position solely on its financial dimensions. The impact of policy, particularly statewide, is quite often of greater accountability than direct control over a larger amount of resources (e.g.. head count/ budget) where the work is fairly routine and the accountability circumscribed by precedent and restrictive organization policy. The tendency when dollars are described is to select the value strictly by locking into the financial (quantitative) dimension. Review this area very carefully. Look at all aspects of the position's accountability and select the level that best represents the position's overall accountability.

Some considerations for determining accountability level include:

- **AUTHORITY (Freedom to Act)**
  - Accountability to initiate, command, enforce, or determine
  - Power to influence outcomes or persuade others to take action
  - Effectively recommends course(s) of action, directs others by virtue of authority derived from position level, experience, training, delegation etc.
  - Provides senior level advice and counsel. Recommendations for course(s) of action, directions to others carries a measurable weight with upper management.

- **AREA(S) of EFFECT (What is Impacted)**

- Operating budget - Biennial budget that includes salaries, supplies and related monies required to perform service(s) to clients and or to maintain the capacity to serve.
- The size and nature of resources managed. Human, financial, and physical resources should be viewed in terms of their effect on government and citizens. How vital is the program/function to the State's mission/business purpose.
- Program/project monies - The sum total of dollars administered or managed that is allocated in a specific manner, to specific programs/projects. Requires negotiation of budget allocations, work scope and trade offs of cost to benefit optimum expenditures.
- Revenue - Monies earned/collected or created from services, goods or products sold or supplied.
- Other financial considerations - Other monies, budgets or expenditures that are in some way influenced by the actions/outcomes attributable to the position.
- Program Scope - the depth and or diversity of things (people, budgets, tasks, services, facilities etc.) that the position is responsible for and the extent of the accountability (e.g., local, regional, statewide).
- Planning - the extent to which longer-term strategic assessments, actions, impacts are prevalent in the position and impacting upon the outcomes experienced by others (clients, other agencies etc.)
- The effect on end results; the manner in which a job affects outcomes; the strength of influence; the accountability to answer for actions and their consequences; the extent to which a position influences or controls results.
- Value creation - the extent to which the position can create/develop new work or business for the state, bring in additional income from services or revenue or enhance the ability of others to provide services to clients.
- Visibility and sensitivity to Public Policy - the environment of politics the position routinely encounters by virtue of the type of work done, where and for whom the job reports and the consequence or fallout of error. Acknowledges the extent to

which actions by a position incumbent or that position's staff have a material affect on the public. Consider the exposure of actions to public reaction in sensitive areas or the degree of public visibility of actions, (e.g., public enjoyment/enhancement versus public necessity versus relationship to Governor's office).

- Effect on other work groups. This is intended to give attention to the extent to which a job can enhance or adversely affect the effectiveness of other groups to achieve their missions.

- **NATURE OF EFFECTS (Type of Accountability)**

- Primary - Controlling impact on and answerability for end results. Clear accountability is assumed and expected. This is considered more direct central influence.
- Contributing - Position's actions and accountability have measurable impact on the actions taken and decisions made by others. Value is added to end results through the advise, counsel, or facilitation efforts on the part of the position. This type of influence is more indirect.
- Remote - Impact or accountability that can be associated with some action(s) taken or decision(s) made by others, however, the measurement of such accountability (cause and affect) is vague or of a minimal nature.

- **CHARACTERISTICS OF ACCOUNTABILITY LEVELS**

As is the case with other job value characteristics the evaluator should view each accountability level description as a mosaic, not locking into any single statement or quantifiable amount in making the determination. Positions having little or no discernible resources managed and or policy impact will clearly fall into level W. Positions with significant organizational breadth and statewide policy impact will typically fall into level Z. Positions at the X and Y level have an increasing amount of resource management and policy making responsibilities. Generally, the more resources directly controlled or types of resources controlled with a resultant policy impact the higher the level of either X or Y.

The accountability levels and their descriptions are as follows:

**W: Control or Influence of Limited Resources**

- Focused (single function) organizations with impact generally limited to division level
- Activities, mission of organization generally ancillary or complimentary but not primary to agency mission
- Individual contributors (non-managers) belong here unless considerable (interagency or statewide) impact is carried by the position
- Typically the financial impact, if recognized, can be attributed up to \$500,000/year. The impact may not be of a direct or easily traceable nature. There may be only obscure (remote) financial implications such as pass through monies with only custodial responsibilities.

**X: Control of Substantial Programs or Resources or Influence on Major Policies or Services**

- Larger organizations (head count and/or diversity of work) with recognizable impact at agency or statewide level
- Organization mission a key to agency's overall mission and relationships with other agencies and constituency groups
- Individual contributors with significant recognizable policy impact (statewide) in key area of state/agency business and/or direct control over resource allocations over \$5 million (program/project manager)
- Typically carries measurable control over both policy and resource areas

**Y: Control of Major Resources or Critical Influences on Large Organizations and/or Public Policy**

- Typically an organization with several moderate-sized organizations having related but different kinds of work products or services
- Organization's mission is critical to agency success



- Statewide impact over critical business functions of the state or necessary support activities
- Control of major resources with values ranging from \$50-\$500 million and/or multiple types of control over a significant amount of resources and policy

#### **Z: Control of Complex Entity**

- Large organization from both a resource and policy impact standpoint
- Organization's mission is, or is central to, the overall mission of the agency
- Considerable statewide impact and a significant part of the state's business mission
- Complexity is a factor over diverse work, multiple organizational units, and extensive integration requirements throughout state government
- Resources controlled typically exceed \$500 million and policy impact is pervasive on a statewide basis and generally of highest importance to state services

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#### **Professional/Individual Contributors**

The JVAC also measures advanced levels of profession-based management jobs. These are positions requiring a grasp or depth of knowledge in an involved, recognized discipline with complex theories and principles acquired through university-level education, practice of the discipline and, in many cases, certification by a recognized professional body or licensing authority. These positions, while not managers, must utilize most principles of management to accomplish their job objectives. Individuals in jobs qualifying as WMS and EMS positions must be highly qualified technical or administrative professionals and/or responsible for leading or working with others in program/project management work. They must also have significant influence or control over some aspect of agency policy with decisions/judgments having impact and consequence to agency services or operations.

The following descriptors categorize three primary levels of project/program management. The objective is to make clear distinctions for evaluators whose agency has these types of positions. As with all descriptions and guidance in this handbook, each agency must establish its own context for where these positions evaluate out at and subsequent band placement.

Project Level (Typically Band I)

- Typically project (smaller scope, less impact) type job
- May/may not have statewide impact; results usually roll up into larger program or line organization or both
- Accountability is modest with respect to policy impact and resources managed
- Delivers the message, guidance information or product to the client
- Primarily assessment/guidelines driven. Project status and troubleshooting.
- Knowledge base primarily “on the job training.”

Program Level (Typically Band II)

- Typically program level with/without other associated projects
- Nature of program, interfaces require strong/well utilized management skills
- Much upper management interface (negotiation of priorities, funding/performance issues, etc.).
- Decides who will receive the...and how it will be managed and measured
- More technical detail and calling upon profession-based knowledge and skills
- Influence on major policy. Heavy emphasis on more expert consultation
- Knowledge base primarily “professional” in nature learned through prolonged study and enhanced through specific training, experience in area(s) managed

Major Program Level (Typically Band III)

- Typically a stand alone program with significant scope and depth
- Usually involves multi-agency coordination, negotiation and prioritization
- Extensive executive management involvement, often inter-agency
- Deeper technical requirements, often requires specific advanced degree/certification
- Well recognized by management/peers as most difficult/demanding job(s)

# **APPENDIX**

# Critical KSAs: Examples of Knowledge, Skills, and Abilities

<p><b>1. COMMUNICATION</b></p> <ul style="list-style-type: none"> <li>• Adapts communications to diverse audiences</li> <li>• Delivers quality oral presentations</li> <li>• Demonstrates verbal/non-verbal consistency</li> <li>• Shares appropriate information internally and externally</li> <li>• Manages meetings effectively</li> <li>• Possesses effective listening skills</li> <li>• Writes clearly and concisely</li> <li>• Speaks clearly and concisely</li> </ul>	<p><b>5. PLANNING</b></p> <ul style="list-style-type: none"> <li>• Maintains a clear focus on internal and external customer needs</li> <li>• Plans and budgets for future resource requirements</li> <li>• Anticipates problems and develops contingency plans</li> <li>• Effectively sets priorities</li> <li>• Establishes challenging, attainable goals and objectives</li> <li>• Identifies short- and long-range organizational needs</li> <li>• Looks to the future with a broad perspective</li> </ul>
<p><b>2. DECISION MAKING</b></p> <ul style="list-style-type: none"> <li>• Takes calculated risks</li> <li>• Uses a logical rational approach</li> <li>• Makes timely/responsive decisions</li> <li>• Takes responsibility for decisions</li> <li>• Modifies decisions based on new information when appropriate</li> <li>• Involves appropriate others in the decision-making process</li> </ul>	<p><b>6. HUMAN RESOURCE MANAGEMENT</b></p> <ul style="list-style-type: none"> <li>• Recruits, selects, and retains capable, productive employees</li> <li>• Achieves affirmative action objectives</li> <li>• Promotes employee safety and wellness</li> <li>• Demonstrates knowledge of personnel policies, labor agreements, and Merit System Rules</li> <li>• Promotes workforce diversity</li> <li>• Recognizes and rewards good performance</li> <li>• Assesses and provides for employee development and training</li> <li>• Encourages and assists employees to achieve full potential</li> <li>• Evaluates employees timely and thoroughly</li> <li>• Takes timely, appropriate corrective/disciplinary action</li> </ul>
<p><b>3. INTERPERSONAL SKILLS</b></p> <ul style="list-style-type: none"> <li>• Relates well with others</li> <li>• Demonstrates trust, sensitivity and mutual respect</li> <li>• Provides timely and honest feedback in a constructive and non-threatening way</li> <li>• Maintains confidentiality</li> <li>• Accepts constructive criticism</li> <li>• Demonstrates consistency and fairness</li> <li>• Negotiates effectively</li> </ul>	<p><b>7. PROGRAM/PROJECT MANAGEMENT</b></p> <ul style="list-style-type: none"> <li>• Monitors and verifies ongoing cost effectiveness</li> <li>• Ensures quality and quantity standards are met</li> <li>• Responds effectively to unforeseen problems</li> <li>• Understands customer needs and ensures customer satisfaction</li> <li>• Achieves results</li> <li>• Uses resources efficiently and manages effectively within budget limits</li> </ul>
<p><b>4. LEADERSHIP</b></p> <ul style="list-style-type: none"> <li>• Coaches and mentors; inspires and motivates</li> <li>• Delegates responsibility with associated authority</li> <li>• Demonstrates self-confidence</li> <li>• Leads by example; serves as appropriate role model</li> <li>• Promotes a cooperative work environment</li> <li>• Sets clear, reasonable expectations and follows through</li> <li>• Remains visible and approachable and interacts with others on a regular basis</li> <li>• Demonstrates high ethical standards</li> <li>• Gains support and buy-in through participation of others</li> </ul>	<p><b>8. INTERACTING WITH THE EXTERNAL ENVIRONMENT</b></p> <ul style="list-style-type: none"> <li>• Works effectively within the political environment</li> <li>• Exhibits knowledge and shows cooperation regarding infra-and inter-agency programs/activities/responsibilities</li> <li>• Displays sensitivity to public attitudes and concerns</li> <li>• Understands and cultivates stakeholder relationships</li> <li>• Demonstrates team play</li> </ul>

# Management & Leadership Practices

*a researched profile of the excellent state manager*

## Working With Stakeholders

1. You identify stakeholders and ascertain their needs.
2. You build and cultivate personal networks.
3. You demonstrate a practical understanding of the political process.
4. You establish personal credibility, and tell the truth.
5. You work and negotiate with others without arousing hostility.
6. You foster a team approach when working with other entities, readily assuming the role of liaison or intermediary.

## Visioning

7. You are proactive, and look to the future when thinking and planning.
8. You have clear goals and articulate them.
9. You identify issues that require dedication of resources.
10. You approach your work "holistically." You maintain a "big picture view."

## Leading and Influencing

11. You promote, support and build on diversity in the workplace.
12. You set clear expectations of others.
13. You provide direction which promotes a cooperative work environment that fosters individual ownership of the work effort.
14. You get others to participate, gaining their support for the work effort, assuring their buy-in.
15. You demonstrate self confidence and exhibit a "can-do" attitude, treating problems as opportunities, while modeling personal excellence.
16. You delegate responsibilities for tasks as well as the associated authority.
17. You identify what motivates others, act on it by providing training and learning opportunities.
18. You actively pursue self development.
19. You act decisively and explain your rationale when overcoming opposition.
20. You select the right people for the job.
21. You practice active listening.
22. You are visible, approachable and interact with others on a regular basis, fostering an open door policy.
23. You keep others informed by sharing information and providing feedback.
24. You have fun and display a good sense of humor.

## Planning and Organizing

25. You assess needs before defining what is to be done, evaluate alternatives, identify priorities and divide them into manageable portions.
26. You help create measurements to track success, follow through and meet commitments.
27. You are organized, thorough, logical, detailed and analytical.
28. You demonstrate understanding of the state budgetary process.
29. You write clearly and concisely.

## Adapting

30. You are flexible, open to change, creative and not bound by tradition.
31. You take risks and learn from your mistakes.
32. You understand the system and work through it effectively.
33. You draw on prior experience, apply common sense using good judgment.
34. You capitalize on your strengths and minimize your weaknesses, using whatever energy it takes to get the job done.
35. You translate complex issues and information into common language.

## Supporting Others

### Individuals:

36. You recognize that employees are the most valuable assets in state government and treat them accordingly.
37. You establish relationships based on trust and mutual respect, treating others fairly and equitably.
38. You promote individual approaches to tasks, giving credit where credit is due.
39. You allow for human error, creating an environment that promotes risk taking.
40. You demonstrate appreciation and value for individual needs and diversity.
41. You provide others with what it takes to get the job done, recognizing limitations of resources when managing the workload.

### Team:

42. You work collaboratively and cooperatively, facilitating the team approach to problem solving.
43. You solicit the input of others.
44. You match the skills of others to task and their interest.
45. You demonstrate trust and support for the decisions of others.
46. You recognize the successes of others and celebrate them.
47. You are willing to pitch in and help others.

